FSA Modernization Program

United States Department of Education
Federal Student Aid

R 2.0 Incomplete Submissions Design

Task Order #116

Version 1.1

12/31/2003

Revision History

Date	Version	Description	Author
12/09/2003	1.0	Incomplete design based on requirements selected in scope for R 2.0.	Rahul Dayal
12/31/2003	1.1	Revised design based on updated requirements and design feedback. For delivery to FSA.	Seth Sinclair

As-Is Incomplete Submissions Process

- After a submission of type Annual, Stub Audit, Closeout, Initial, or Merger/CIO is submitted, it is sent to QC for review.
- The QC module provides functionality to allow a QC user to record if a submission is complete or incomplete. If incomplete, the user has the ability to select why the submission is incomplete.
- For Annual or Stub Audit submissions both the Financial Statement and Compliance must be marked as complete before the record is considered complete.
- Once a submission is marked complete, it proceeds from QC either to archive or for Case Resolution (based on existing system flags).

Annual Submission

- If QC marks either (or both) the Financial Statement or Compliance Audit for an Annual Submission incomplete, the whole submission is marked incomplete after both are QC'd.
- When a submission is incomplete the system:
    o Displays a notification to the Institution stating their submission is incomplete.
    o Displays a "Resubmit" link for the incomplete annual submission.
    o Populates the "Resubmit" record with data originally submitted.
    o Removes the incomplete record from case view/access.

Non-Annual Submission (Stub Audit, Closeout, Initial, and Merger/CIO)

- If QC marks either (or both) the Financial Statement or Compliance Audit for a Stub Audit incomplete, the whole submission is marked incomplete after both are QC'd.
- If QC marks a Closeout, Reinstatement, Initial or Merger/CIO incomplete, the submission is set to incomplete.
- When a non-annual submission is incomplete, the system:
    o Displays a notification to the Institution stating their submission is incomplete (NOTE - there is NO resubmit functionality offered).
    o Removes the incomplete record from case view/access.

To-Be Incomplete Submissions Process

QC Changes

- The QC page will change to allow the QC user to better indicate why a submission is incomplete. QC will continue to be specific to Submission Type (CA vs FS) and Ins Type.
- QC questions related to specific fields (i.e. Compliance Audit Info, FS Info, or Checklist Questions answered correctly) will not change.
- Listbox values for questions "Were all required documents attached?" and "Are all required attachments properly presented?" will be expanded to accommodate specific issues/attachments. See section "Revised QC Values for Incomplete" for details.
- A new question will be added to address "Are all attached PDFs viewable?" on both the CA and FS QC. See section "Revised QC Values for Incomplete" for details.
- The QC page will support a comments text box on both the CA and FS QC pages to allow the QC user to record comments they would like to display on an incomplete letter.

QC User Marks Submission Incomplete, Generates Incomplete Letter

- When a QC user selects to submit a CA or FS record as incomplete, the system will generate an "incomplete letter" for review.
- The incomplete letter will be generated
    - using standard Incomplete letter header/text as defined by FSA.
    - with pre-populated data including current date, INS OPE ID, INS President Name, INS Address, Submission Type, Submission Date, Submission FYE (if applicable).
    - with reasons for incomplete, as selected on the QC page(s).
    - with comments entered by the QC User(s), if present.
- The QC User will be able to preview the letter for their half of the submission, regardless of the other half. The system will continue to mark a submission incomplete and display an incomplete letter to an INS only after both portions have been QC'd. The letter may have input from only the CA or FS QC if only one was marked incomplete or input from both the CA and FS QC if both were marked incomplete.
- The Incomplete letter preview will provide a "printer-friendly" option.
- The QC User has the ability to accept or reject the Incomplete Letter.
- If the QC user decides to reject the incomplete submission letter, the system will return to the QC page. The QC user will have the ability to edit the QC page and submit again.
- If the QC user accepts the incomplete submission letter and both portions of the submission have been QC'd, the correspondence log will be automatically updated with an entry that states an incomplete submission letter has been posted.
- The system will generate an email notifying the Institution President and Contact person (captured from Contact Info on the Ins Submission) that an Incomplete Letter has been posted.

Institution User Views Incomplete Submission

- When Institution user logs into the system, their homepage will display with a notification stating that the submission has been marked incomplete.
- The system will provide a way for the Ins User to view the Incomplete Letter.
- The system will display a "Resubmit" link for an Annual Submission in the left navigation bar.
- When the "Resubmit" link is clicked, the system will re-populated and Annual Submission with the data originally submitted.

- When the Ins User selects to view the Incomplete Letter, the correspondence log will update with an automatic entry recording that the incomplete letter was viewed by the institution.

Case User Retrieves Incomplete Submission

- Case Users will be able to able retrieve incomplete submissions using Search functionality.
- The results will display with submission status, allowing the user to see if the result is an incomplete record.
- The system will identify Incomplete Submissions by displaying an "incomplete" label on the Submission Summary page.
- The system will display the "incomplete" label in the page headers on all resolutions pages.
- Incomplete submissions will be un-assignable and view-only.
- The system will allow Case Users to view the Incomplete Letter. A link to the letter will be provided on the Submission Summary page.

Non-Annual Submission

- The system will provide "resubmit" capability for incomplete non-annual submissions (stub, closeout, reinstatement, merger/CIO, initial).
- When Institution user logs into the system, their homepage will display with a notification stating that the non-annual submission has been marked incomplete.
- The system will provide a way for the Ins User to view the Incomplete Letter.
- The system will display a "Resubmit" link for the non-annual submission in the left navigation bar. NOTE – The link will not replace the link to create a new non-annual submission.
- When the "Resubmit" link is clicked, the system will repopulate the non-annual submission with the data originally submitted.
- When the Ins User selects to view the Incomplete Letter, the correspondence log will update with an automatic entry recording that the incomplete letter was viewed by the institution.

Revised QC Values for Incomplete

The following QC question/values will need to be revised/added:

FS QC

Are all required documents attached? Yes/No
If no, what is missing?
- Audited Financial Statement is missing.
- Financial Statement Independent Auditors Report is missing.
- Financial Statement Report on Compliance and Internal Controls is missing.
- Other is missing.

Are all attached PDFs viewable? Yes/No
- Audited Financial Statements is not viewable.
- Other is not viewable.

Are all required attachments properly presented? Yes/No
If no, what is incorrect?

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- Financial Statement Independent Auditors Report is not titled.
- Financial Statement Independent Auditors Report is not signed.
- Financial Statement Independent Auditors Report is not dated.
- Financial Statement Independent Auditors Report is not on letterhead.
- Financial Statement Independent Auditors Report does not specify GAGAS.
- Financial Statement Independent Auditors Report does not refer to all Financial Statements.
- Financial Statement Independent Auditors Report does not refer to GAAP.
- Financial Statements Report On Compliance and Internal Controls is not titled.
- Financial Statements Report On Compliance and Internal Controls is not signed.
- Financial Statements Report On Compliance and Internal Controls is not dated.
- Financial Statements Report On Compliance and Internal Controls is not on letterhead.
- Financial Statements Report On Compliance and Internal Controls does not specify GAGAS.
- Financial Statements Report On Compliance and Internal Controls does not refer to all Financial Statements.

Compliance Audit QC

Are all required documents attached? Yes/No
If no, what is missing?
- Compliance Audit is missing.
- Financial Statements Report On Compliance and Internal Controls is not dated is missing.
- Servicer Information Sheet is missing.
- Report on Compliance with Specified Requirements Applicable to the FSA Programs is missing.
- Schedule of Findings and Questioned Costs is missing.
- Summary Schedules is missing.
- Auditor's Comments on Resolution Matters Related to Prior Audit Findings is missing.
- Corrective Action Plan is missing.
- Other is missing.

Are all attached PDFs viewable? Yes/No
- Compliance Audit is not viewable.
- Corrective Action Plan is not viewable.
- Other is not viewable.

Are all required attachments properly presented? Yes/No
If no, what is incorrect?
- Auditor Information Sheet is incomplete.
- Auditor Information Sheet does not properly address enrollment percentages.
- Servicer Information Sheet is incomplete.
- Report on Compliance with specified Requirements Applicable to the FSA Programs is incomplete.
- Report on Compliance with Specified Requirements Applicable to the FSA Programs was not signed.
- Report on Compliance with specified Requirements Applicable to the FSA Programs was not dated.
- Report on Compliance with specified Requirements Applicable to the FSA Programs not on letterhead.

- Report on Compliance with specified Requirements Applicable to the FSA Programs did not list all required Management Assertions.
- Report on Compliance with specified Requirements Applicable to the FSA Programs did not clearly identify the periods examined.
- Report on Compliance with specified Requirements Applicable to the FSA Programs did not disclose use of Government Auditing Standards.
- Report on Compliance with specified Requirements Applicable to the FSA Programs did not disclose use of attestation standards established by AICPA.
- Report on Compliance with specified Requirements Applicable to the FSA Programs did not disclose use of the appropriate Audit Guide.
- Schedule of Findings and Questioned Costs is incomplete.
- Summary Schedules is incomplete.
- Summary Schedules do not represent the findings.
- Auditor's Comments on Resolution Matters related to prior audit findings is incomplete.
- Corrective Action Plan is incomplete.
- Corrective Action Plan is not signed.
- Corrective action plan is not on school letterhead.